

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
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OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 18, 2003

PTAS

SWANSON & BRATSCUN, L.L.C.
ROSEMARY KELLOGG
1745 SHEA CENTER DR.
STE. 330
HIGHLANDS RANCH, CO 80129

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RECEIVED

SEP 11 2003

TECH CENTER 100/2000

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/17/2002

REEL/FRAME: 013095/0019
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

QIU, ZHIHUA

DOC DATE: 05/21/2002

ASSIGNOR:

MAHIOU, BELAID

DOC DATE: 05/21/2002

ASSIGNOR:

PADMAPRIYA, A. ABEYSINGHE

DOC DATE: 09/11/2002

ASSIGNOR:

FARROW, TOM

DOC DATE: 06/20/2002

ASSIGNEE:

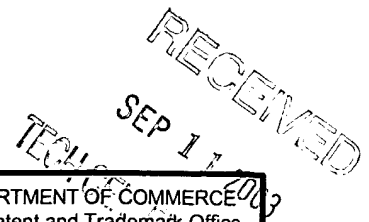
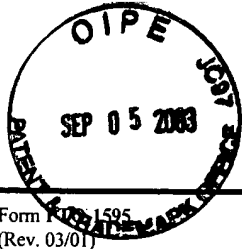
UNIGEN PHARMACEUTICALS, INC.
100 TECHNOLOGY DRIVE
SUITE 160
BROOMFIELD, COLORADO 80021

SERIAL NUMBER: 10039752

FILING DATE: 01/02/2002

PATENT NUMBER:

ISSUE DATE:



Form 1001/1595
(Rev. 03/01)

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings ⇌ ⇌ ⇌ ▼ ▼ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
Zhihua Qiu; Belaid Mahiou; Abeyasinghe
A. Padmapriya; Tom Farrow

2. Name and address of receiving party(ies)
Name: UniGen Pharmaceuticals, Inc.

Internal Address: 100 Technology Drive,
Suite 160
Broomfield, CO 80021

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

05/21/02; 05/21/02; 09/11/02;
06/20/02

Execution Date: _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

10/039,752

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Rosemary Kellogg
Swanson & Bratschun, L.L.C.
1745 Shea Center Drive, Suite 330
Highlands Ranch, Colorado 80129

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☐ Enclosed
☒ Authorized to be charged to deposit account

8. Deposit account number:

19-5117

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Rosemary Kellogg

Name of Person Signing

Signature

September 17, 2002

Date

Total number of pages including cover sheet, attachments, and documents:

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

WHEREAS, the undersigned inventor(s) (referred to, collectively, if more than one, as "Assignor") have made an invention entitled **PROCESS FOR THE PREPARATION OF IMMUNOMODULATORY POLYSACCHARIDES FROM ALOE** for which an application for United States Letters Patent was filed on **January 2, 2002** as **Application Serial No. 10/039,752**, and

WHEREAS, **UniGen Pharmaceuticals, Inc.**, a Delaware corporation ("Assignee") having a place of business at **100 Technology Drive, Suite 160, Broomfield, CO 80021**, desires to acquire all right, title and interest in and to the above identified invention and application;

NOW, THEREFORE, Assignor, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, does hereby sell, assign, convey and transfer unto Assignee all right, title and interest in and to the above identified invention and application, together with all corresponding foreign applications and patents which may be filed thereon, including the right to claim priority from the above identified United States application; and Assignor hereby agrees that Assignor will sign all lawful papers, including, without limitation, all divisional, continuation, renewal, extension and reissue applications, and make all rightful oaths in execution thereof, and will generally do everything possible to aid Assignee, its successors, assigns and nominees to obtain and enforce proper protection for the invention in all countries, this obligation to be binding upon Assignor (each and severally, if more than one) and upon Assignor's personal representative or other legal successor.

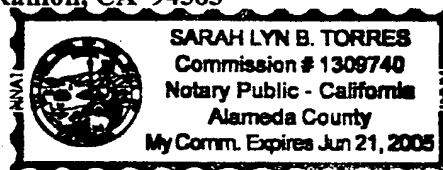
IN TESTIMONY WHEREOF, the undersigned Assignor (and each of them, if more than one) has signed below.

Date: 5/21/2002

Address:

Zhihua Qiu
Zhihua Qiu
804 Whitehaven Place
San Ramon, CA 94583

STATE OF California)
COUNTY OF Alameda) ss.



The foregoing instrument was acknowledged before me this 21st day of May, 2002, by Zhihua Qiu.

Witness my hand and official seal.

My commission expires: June 21, 2005

Sarah Lyn B. Torres
Notary Public

Date: _____

Address:

Belaid Mahiou
1435 NW Ashely Drive
Albany, OR 97321

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Belaid Mahiou**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: _____

Address:

Abeyasinghe A. Padmapriya
5896 Orchard Creek Lane
Boulder, Colorado 80301-5823

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Abeyasinghe A. Padmapriya**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: _____

Address:

Tom Farrow
660 El Paso Blvd.
Denver, Colorado 80221-4055

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Tom Farrow**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

S:\Client Folders\Univera Pharmaceuticals\Uni20\Assignment.doc

ASSIGNMENT

WHEREAS, the undersigned inventor(s) (referred to, collectively, if more than one, as "Assignor") have made an invention entitled **PROCESS FOR THE PREPARATION OF IMMUNOMODULATORY POLYSACCHARIDES FROM ALOE** for which an application for United States Letters Patent was filed on **January 2, 2002** as **Application Serial No. 10/039,752**, and

WHEREAS, **UniGen Pharmaceuticals, Inc.**, a Delaware corporation ("Assignee") having a place of business at **100 Technology Drive, Suite 160, Broomfield, CO 80021**, desires to acquire all right, title and interest in and to the above identified invention and application;

NOW, THEREFORE, Assignor, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, does hereby sell, assign, convey and transfer unto Assignee all right, title and interest in and to the above identified invention and application, together with all corresponding foreign applications and patents which may be filed thereon, including the right to claim priority from the above identified United States application; and Assignor hereby agrees that Assignor will sign all lawful papers, including, without limitation, all divisional, continuation, renewal, extension and reissue applications, and make all rightful oaths in execution thereof, and will generally do everything possible to aid Assignee, its successors, assigns and nominees to obtain and enforce proper protection for the invention in all countries, this obligation to be binding upon Assignor (each and severally, if more than one) and upon Assignor's personal representative or other legal successor.

IN TESTIMONY WHEREOF, the undersigned Assignor (and each of them, if more than one) has signed below.

Date: _____

Address: _____

Zhihua Qiu
804 Whitehaven Place
San Ramon, CA 94583

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Zhihua Qiu**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: 5/21/02

Address: _____

Belaid Mahiou
1435 NW Ashely Drive
Albany, OR 97321

STATE OF Oregon)
) ss.
COUNTY OF Benton)



The foregoing instrument was acknowledged before me this 21st day of May, 2002, by **Belaid Mahiou**.

Witness my hand and official seal.

My commission expires: April 16, 2005

Patti Ferry
Notary Public

Date: _____

Address:

Abeyasinghe A. Padmapriya
5896 Orchard Creek Lane
Boulder, Colorado 80301-5823

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Abeyasinghe A. Padmapriya**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: _____

Address:

Tom Farrow
660 El Paso Blvd.
Denver, Colorado 80221-4055

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Tom Farrow**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

ASSIGNMENT

WHEREAS, the undersigned inventor(s) (referred to, collectively, if more than one, as "Assignor") have made an invention entitled **PROCESS FOR THE PREPARATION OF IMMUNOMODULATORY POLYSACCHARIDES FROM ALOE** for which an application for United States Letters Patent was filed on **January 2, 2002** as **Application Serial No. 10/039,752**, and

WHEREAS, **UniGen Pharmaceuticals, Inc.**, a Delaware corporation ("Assignee") having a place of business at **100 Technology Drive, Suite 160, Broomfield, CO 80021**, desires to acquire all right, title and interest in and to the above identified invention and application;

NOW, THEREFORE, Assignor, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, does hereby sell, assign, convey and transfer unto Assignee all right, title and interest in and to the above identified invention and application, together with all corresponding foreign applications and patents which may be filed thereon, including the right to claim priority from the above identified United States application; and Assignor hereby agrees that Assignor will sign all lawful papers, including, without limitation, all divisional, continuation, renewal, extension and reissue applications, and make all rightful oaths in execution thereof, and will generally do everything possible to aid Assignee, its successors, assigns and nominees to obtain and enforce proper protection for the invention in all countries, this obligation to be binding upon Assignor (each and severally, if more than one) and upon Assignor's personal representative or other legal successor.

IN TESTIMONY WHEREOF, the undersigned Assignor (and each of them, if more than one) has signed below.

Date: _____

Address: _____

Zhihua Qiu
804 Whitehaven Place
San Ramon, CA 94583

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Zhihua Qiu**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: _____

Address: _____

Belaid Mahiou
1435 NW Ashely Drive
Albany, OR 97321

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Belaid Mahiou**.

Witness my hand and official seal.

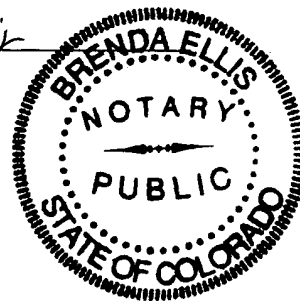
My commission expires: _____

Notary Public

Date: 9-11-02

Address: _____

Abeyasinghe A. Padmapriya
Abeyasinghe A. Padmapriya
5896 Orchard Creek Lane
Boulder, Colorado 80301-5823



STATE OF Colorado)
) ss.
COUNTY OF Broomfield)

The foregoing instrument was acknowledged before me this 11 day of Sept, 2002, by **Abeyasinghe A. Padmapriya**.

Witness my hand and official seal.

My commission expires: 12-19-04

Brenda Ellis

Notary Public

Date: _____

Address: _____

Tom Farrow
660 El Paso Blvd.
Denver, Colorado 80221-4055

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Tom Farrow**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

ASSIGNMENT

WHEREAS, the undersigned inventor(s) (referred to, collectively, if more than one, as "Assignor") have made an invention entitled **PROCESS FOR THE PREPARATION OF IMMUNOMODULATORY POLYSACCHARIDES FROM ALOE** for which an application for United States Letters Patent was filed on **January 2, 2002** as **Application Serial No. 10/039,752**, and

WHEREAS, **UniGen Pharmaceuticals, Inc.**, a Delaware corporation ("Assignee") having a place of business at **100 Technology Drive, Suite 160, Broomfield, CO 80021**, desires to acquire all right, title and interest in and to the above identified invention and application;

NOW, THEREFORE, Assignor, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, does hereby sell, assign, convey and transfer unto Assignee all right, title and interest in and to the above identified invention and application, together with all corresponding foreign applications and patents which may be filed thereon, including the right to claim priority from the above identified United States application; and Assignor hereby agrees that Assignor will sign all lawful papers, including, without limitation, all divisional, continuation, renewal, extension and reissue applications, and make all rightful oaths in execution thereof, and will generally do everything possible to aid Assignee, its successors, assigns and nominees to obtain and enforce proper protection for the invention in all countries, this obligation to be binding upon Assignor (each and severally, if more than one) and upon Assignor's personal representative or other legal successor.

IN TESTIMONY WHEREOF, the undersigned Assignor (and each of them, if more than one) has signed below.

Date: _____

Address: _____

Zhihua Qiu
804 Whitehaven Place
San Ramon, CA 94583

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ____ day of _____, 2002, by **Zhihua Qiu**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: _____

Address: _____

Belaid Mahiou
1435 NW Ashely Drive
Albany, OR 97321

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ___ day of _____, 2002, by **Belaid Mahiou**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: _____

Address: _____

Abeyasinghe A. Padmapriya
5896 Orchard Creek Lane
Boulder, Colorado 80301-5823

STATE OF _____)
) ss.
COUNTY OF _____)

The foregoing instrument was acknowledged before me this ___ day of _____, 2002, by **Abeyasinghe A. Padmapriya**.

Witness my hand and official seal.

My commission expires: _____

Notary Public

Date: 6-20-2002

Address: _____

Tom Farrow
Tom Farrow
660 El Paso Blvd.
Denver, Colorado 80221-4055

STATE OF Colorado)
) ss.
COUNTY OF Broomfield)

The foregoing instrument was acknowledged before me this 20th day of June, 2002, by **Tom Farrow**.

Witness my hand and official seal.

My commission expires: 12/19/2004

Brenda Ellis
Notary Public



APRIL 18 2003



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APR 15 1999

PTAS

SWANSON & BRATSCHUN, L.L.C.
BARRY J. SWANSON
8400 E. PRENTICE AVENUE, SUITE 200
ENGLEWOOD, CO 80111



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UNITED STATES PATENT AND TRADEMARK OFFICE
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RECORDATION DATE: 12/18/1998

REEL/FRAME: 9674/0680
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
QIU, ZHIHUA

DOC DATE: 11/16/1998

ASSIGNOR:
MAHIOU, BELAID

DOC DATE: 11/16/1998

ASSIGNEE:
UNIVERA PHARMACEUTICALS, INC.
100 TECHNOLOGY DRIVE
SUITE 160
BROOMFIELD, COLORADO 80021

SERIAL NUMBER: 09169449
PATENT NUMBER:

FILING DATE: 10/09/1998
ISSUE DATE:

9674/0680 PAGE 2

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1595

01-06-1999

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office



100934223

To the Honorable Commissioner of Patents...

and original documents or copy thereof:

1. Name of conveying party(ies):

Zhihua Qiu and Belaid Mahiou

Additional name(s) of conveying party(ies):

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 11/16/98; 11/16/98

2. Name and address of receiving party(ies):

Name: Univera Pharmaceuticals, Inc.

Mailing Address: 100 Technology Drive
Suite 160
Broomfield, Colorado 80021

Additional name(s) & address(es): ☐ Yes ☒ No

4. Application number(s) or registration number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/169,449

B. Patent No.(s)

Additional Numbers ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Barry J. Swanson
Swanson & Bratschun, L.L.C.
8400 E. Prentice Avenue, Suite 200
Englewood, CO 80111

6. Total number of documents involved: 1

7. Total fees (37 CFR 3.41): \$40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

DO NOT USE THIS SPACE

9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Rosemary Kellogg
Name of Person Signing

Rosemary Kellogg
Signature

December 15, 1998
Date

Total number of pages including cover sheet and attachments 3

12/24/1998 ZABDALLA 00000015 09169449

03 FC:581

40.00 DP

ASSIGNMENT

WHEREAS, the undersigned inventor(s) (referred to, collectively, if more than one, as "Assignor") have made an invention entitled **Process for the Preparation of Immunomodulatory Polysaccharides from Aloe**, for which an application for United States Letters Patent was filed on **October 9, 1998**, as Application Serial No. **09/169,449**, and

WHEREAS, **Univera Pharmaceuticals, Inc.**, a **Delaware** corporation ("Assignee") having a place of business at 100 Technology Drive, Suite 160, Broomfield, Colorado 80021, desires to acquire all right, title and interest in and to the above identified invention and application;

NOW, THEREFORE, Assignor, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, does hereby sell, assign, convey and transfer unto Assignee all right, title and interest in and to the above identified invention and application, together with all corresponding foreign applications and patents which may be filed thereon, including the right to claim priority from the above identified United States application; and Assignor hereby agrees that Assignor will sign all lawful papers, including, without limitation, all divisional, continuation, renewal, extension and reissue applications, and make all rightful oaths in execution thereof, and will generally do everything possible to aid Assignee, its successors, assigns and nominees to obtain and enforce proper protection for the invention in all countries, this obligation to be binding upon Assignor (each and severally, if more than one) and upon Assignor's personal representative or other legal successor.

IN TESTIMONY WHEREOF, the undersigned Assignor (and each of them, if more than one) has signed below.

Date: 11/16/98

Zhihua Qiu
Zhihua Qiu
5840 West 112th Place
Westminster, Colorado 80021

Address:

STATE OF Colorado)

COUNTY OF Boulder)

The foregoing instrument was acknowledged before me this 16th day of November, 1998, by Zhihua Qiu.

Witness my hand and official seal.

My commission expires: Feb 13 '2000

[Signature]
Notary Public



MY COMMISSION EXPIRES:
FEBRUARY 13, 2000

Date: 11/16/98

Belaïd Mahiou
Belaïd Mahiou

Address: 13493 Quivas Street
Westminster, Colorado 80234

STATE OF Colorado)

COUNTY OF Boulder)

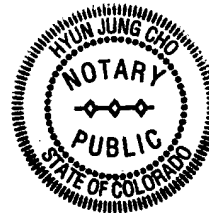
The foregoing instrument was acknowledged before me this 16th day of November, 1998, by Belaïd Mahiou.

Witness my hand and official seal.

My commission expires: Feb 13, 2000

[Signature]
Notary Public

E:\WPDOCS\UNIVERA\Uni11\Assignment-POA.wpd-EAM



MY COMMISSION EXPIRES:
FEBRUARY 13, 2000



UNITED STATES
PATENT AND
TRADEMARK OFFICE
★★★★



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JUNE 10, 2002

PTAS

SWANSON & BRATSCHUN, L.L.C.
ROSEMARY KELLOGG
1745 SHEA CENTER DRIVE
SUITE 330
HIGHLANDS RANCH, CO 80129

Chief Information Officer
Washington, DC 20231
www.uspto.gov



102055576A

UNITED STATES PATENT AND TRADEMARK OFFICE
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/01/2002

REEL/FRAME: 012775/0267
NUMBER OF PAGES: 7

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

UNIVERA PHARMACEUTICALS, INC.

DOC DATE: 01/16/2002

ASSIGNEE:

UNIGEN PHARMACEUTICALS, INC.
100 TECHNOLOGY DRIVE
SUITE 160
BROOMFIELD, COLORADO 80021

SERIAL NUMBER: 08391139
PATENT NUMBER:

FILING DATE: 02/21/1995
ISSUE DATE:

SERIAL NUMBER: 09415734
PATENT NUMBER:

FILING DATE: 10/12/1999
ISSUE DATE:

SERIAL NUMBER: 09414478
PATENT NUMBER:

FILING DATE: 10/07/1999
ISSUE DATE:

SERIAL NUMBER: 09295907
PATENT NUMBER:

FILING DATE: 04/21/1999
ISSUE DATE:

SERIAL NUMBER: 09301892
PATENT NUMBER: 6395311

FILING DATE: 04/29/1999
ISSUE DATE: 05/28/2002

SERIAL NUMBER: 10025364
PATENT NUMBER:

FILING DATE: 12/19/2001
ISSUE DATE:

SERIAL NUMBER: 09741215
PATENT NUMBER:

FILING DATE: 12/19/2000
ISSUE DATE:

SERIAL NUMBER: 10007096
PATENT NUMBER:

FILING DATE: 12/04/2001
ISSUE DATE:

SERIAL NUMBER: 09792104
PATENT NUMBER:

FILING DATE: 02/26/2001
ISSUE DATE:

SERIAL NUMBER: 08686270
PATENT NUMBER: 5965540

FILING DATE: 07/25/1996
ISSUE DATE: 10/12/1999

SERIAL NUMBER: 08621178
PATENT NUMBER: 5675000

FILING DATE: 03/21/1996
ISSUE DATE: 10/07/1997

SERIAL NUMBER: 08899786
PATENT NUMBER: 6001572

FILING DATE: 07/24/1997
ISSUE DATE: 12/14/1999

SERIAL NUMBER: 08858741
PATENT NUMBER: 5801256

FILING DATE: 05/19/1997
ISSUE DATE: 09/01/1998

SERIAL NUMBER: 09146805
PATENT NUMBER: 5990284

FILING DATE: 09/04/1998
ISSUE DATE: 11/23/1999

SERIAL NUMBER: 09169449
PATENT NUMBER: 6133440

FILING DATE: 10/09/1998
ISSUE DATE: 10/17/2000

SERIAL NUMBER: 09295648
PATENT NUMBER: 6271214

FILING DATE: 04/21/1999
ISSUE DATE: 08/07/2001

SERIAL NUMBER: 09228859
PATENT NUMBER: 6083976

FILING DATE: 01/12/1999
ISSUE DATE: 07/04/2000

SERIAL NUMBER: 09066161
PATENT NUMBER: 6123959

FILING DATE: 04/24/1998
ISSUE DATE: 09/26/2000

SERIAL NUMBER: 09329848
PATENT NUMBER: 6210680

FILING DATE: 06/11/1999
ISSUE DATE: 04/03/2001

SERIAL NUMBER: 09479619
PATENT NUMBER: 6326209

FILING DATE: 01/07/2000
ISSUE DATE: 12/04/2001

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

4/1/02

04-15-2002

Form PTO-1595
(Rev. 03/01)
OMB No. 0651-0027 (exp. 5/31/2002)
Tab settings $\Rightarrow \Rightarrow \Rightarrow$ ▼



U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

102055576

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

UNIVERA PHARMACEUTICALS, INC.

2. Name and address of receiving party(ies)

Name: UNIGEN PHARMACEUTICALS, INC.

Internal Address: 100 Technology Drive, Suite 160
Broomfield, CO 80021

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☐ Assignment ☐ Merger
☐ Security Agreement ☒ Change of Name
☐ Other _____

Execution Date: January 16, 2002

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

SEE EXHIBIT B

B. Patent No.(s)

SEE EXHIBIT B

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Rosemary Kellogg
Swanson & Bratschun, L.L.C.
1745 Shea Center Drive, Suite 330
Highlands Ranch, Colorado 80129

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41).....\$ 800.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Rosemary Kellogg

Name of Person Signing

Signature

March 25, 2002

Date

Total number of pages including cover sheet, attachments, and documents:

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

04/15/2002 TDIAZI 00000040 08391139

01 FC:581

800.00 OP

EXHIBIT B
CASES TO BE RECORDED

Docket No.	Application/ Patent No.	Filing/Issue Date	Status
UNI.02	08/391,139	02/21/1995	Abandoned
UNI.02/FWC	5,965,540	10/12/1999	Patented
UNI.02/FWC-CON	09/415,734	10/12/1999	Abandoned
UNI.03	5,675,000	10/07/1997	Patented
UNI.03-RE	09/414,478	10/07/1999	Pending
UNI.07	6,001,572	12/14/1999	Patented
UNI.08	5,801,256	09/01/1998	Patented
UNI.09	5,990,284	11/23/1999	Patented
UNI.11	6,133,440	10/17/2000	Patented
UNI.11/D1	09/295,907	04/21/1999	Pending
UNI.11/D2	6,271,214	08/07/2001	Patented
UNI.12	6,083,976	07/04/2000	Patented
UNI.13/CPA	09/301,892	04/29/1999	Pending
UNI.13/C	10/025,364	12/19/2001	Pending
UNI.14	6,123,959	09/26/2000	Patented
UNI.15	6,210,680	04/03/2001	Patented
UNI.15/D	09/741,215	12/19/2000	Pending
UNI.16	6,326,209	12/04/2001	Patented
UNI.16/D	10/007,096	12/04/2001	Pending
UNI.17	09/792,104	02/26/2001	Pending



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
Assistant Commissioner of Patents
and Trademarks
Washington, D.C. 20231
Attn: BOX ASSIGNMENTS

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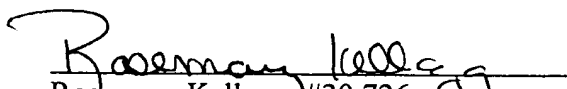
RECORDATION OF CHANGE OF NAME

Effective March 1, 2002, Univera Pharmaceuticals, Inc. changed its name to Unigen Pharmaceuticals, Inc. Attached hereto as Exhibit A and incorporated herein by this reference is a Copy of the "Certificate of Amendment," filed on February 15, 2002, certified by the Secretary of State of the State of Delaware.

Set forth on Exhibit B hereto is a list of Assignments affected by this name change. Request is hereby made to change the name of the assignee from Univera Pharmaceuticals, Inc. to Unigen, Pharmaceuticals, Inc. in each of the referenced applications and patents. A check in the amount of \$800.00 is enclosed.

Respectfully submitted,

Date: March 22, 2002

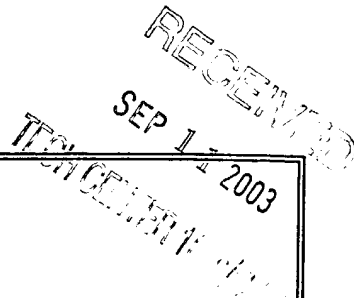

Rosemary Kellogg, #39,726
Swanson & Bratschun, L.L.C.
1745 Shea Center Drive, Suite 330
Highlands Ranch, Colorado 80129
Telephone: (303) 268-0066
Facsimile: (303) 268-0065

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Exhibit A



ATTESTATION

I, Rosemary P. Kellogg, hereby certify that I made the attached photocopy of a Certificate of Amendment of "Univera Pharmaceuticals, Inc.," from the original copy of said Certificate of Amendment of "Univera Pharmaceuticals, Inc.," and that the attached photocopy is a true and correct copy of the original.

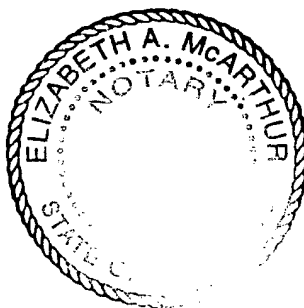
Rosemary Kellogg
Rosemary Kellogg

State of Colorado)
) ss.
County of Douglas)

This attestation was acknowledged before me this 22nd day of March, 2002 by Rosemary Kellogg.

Witness my hand and official seal.

By: Elizabeth A. McArthur
Notary Public



My Commission Expires March 29, 2002



Delaware

The First State

PAGE 1

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TECHNICAL SERVICES

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "UNIVERA PHARMACEUTICALS, INC.", CHANGING ITS NAME FROM "UNIVERA PHARMACEUTICALS, INC." TO "UNIGEN PHARMACEUTICALS, INC.", FILED IN THIS OFFICE ON THE FIFTEENTH DAY OF FEBRUARY, A.D. 2002, AT 9 O'CLOCK A.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF AMENDMENT IS THE FIRST DAY OF MARCH, A.D. 2002.



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

2574502 8100

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AUTHENTICATION: 1656330

DATE: 03-08-02



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TECH GEN.

CERTIFICATE OF AMENDMENT
TO THE
CERTIFICATE OF INCORPORATION
OF
UNIVERA PHARMACEUTICALS, INC.

STATE OF DELAWARE
SECRETARY OF STATE
DIVISION OF CORPORATIONS
FILED 09:00 AM 02/15/2002
020103067 - 2574502

The undersigned, pursuant to provisions of the General Corporation Law of the State of Delaware, do hereby certify and set forth as follows:

First: That at a meeting of the Board of Directors of Univera Pharmaceuticals, Inc. a corporation organized and existing under and by virtue of the Delaware General Corporation Law (the "Corporation"), resolutions were duly adopted setting forth a proposed amendment to the Certificate of Incorporation of the Corporation, declaring said amendment to be advisable and calling a meeting of the shareholders of said Corporation for consideration thereof. The resolution setting forth the proposed amendment is as follows:

WHEREAS, the Corporation wishes to amend its Certificate of Incorporation to change the name of the Corporation to "Unigen Pharmaceuticals, Inc." effective at the beginning of business March 1, 2002.

NOW THEREFORE BE IT RESOLVED, that the Certificate of Amendment to the Certificate of Incorporation of the Corporation be amended by changing the Article thereof numbered "FIRST" so that, as amended, said Article shall be and read as follows:

"The name of the corporation is Unigen Pharmaceuticals, Inc."

Second: That thereafter, pursuant to resolution of its Board of Directors, the sole stockholder adopted the foregoing Amendment to the Certificate of Incorporation in accordance with the provisions of Section 242 of the Delaware General Corporation Law by unanimous consent in lieu of a special meeting in accordance with Section 228 of the Delaware General Corporation Law.

Third: That the capital of said Corporation shall not be reduced under or by reason of said amendment.

IN WITNESS WHEREOF, we have hereunto set our hands this 16th day of January 2002.

UNIVERA PHARMACEUTICALS, INC.

By: *Han- Yong Sung*

Han- Yong Sung, President

ATTEST:

By: *Sharon A. Pflughoeft*

Sharon A. Pflughoeft, Secretary